

A Sustainable Open-Access Future

Stuart M. Shieber

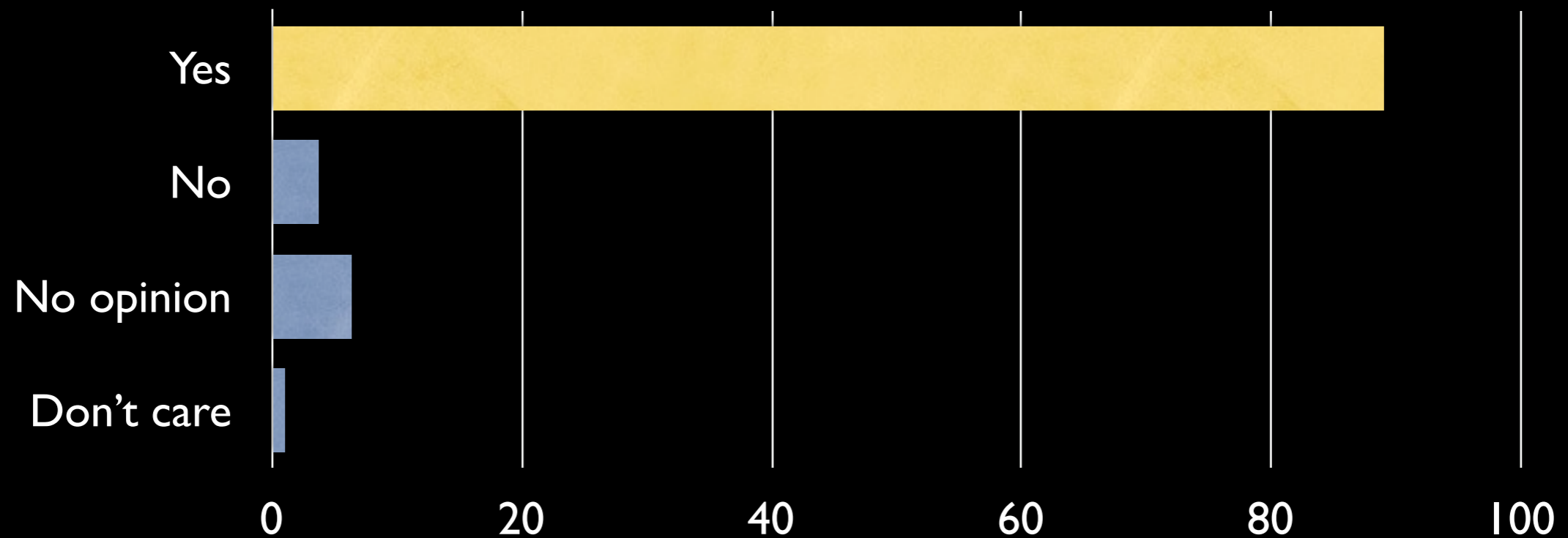
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Is there an OA future
in any major way?



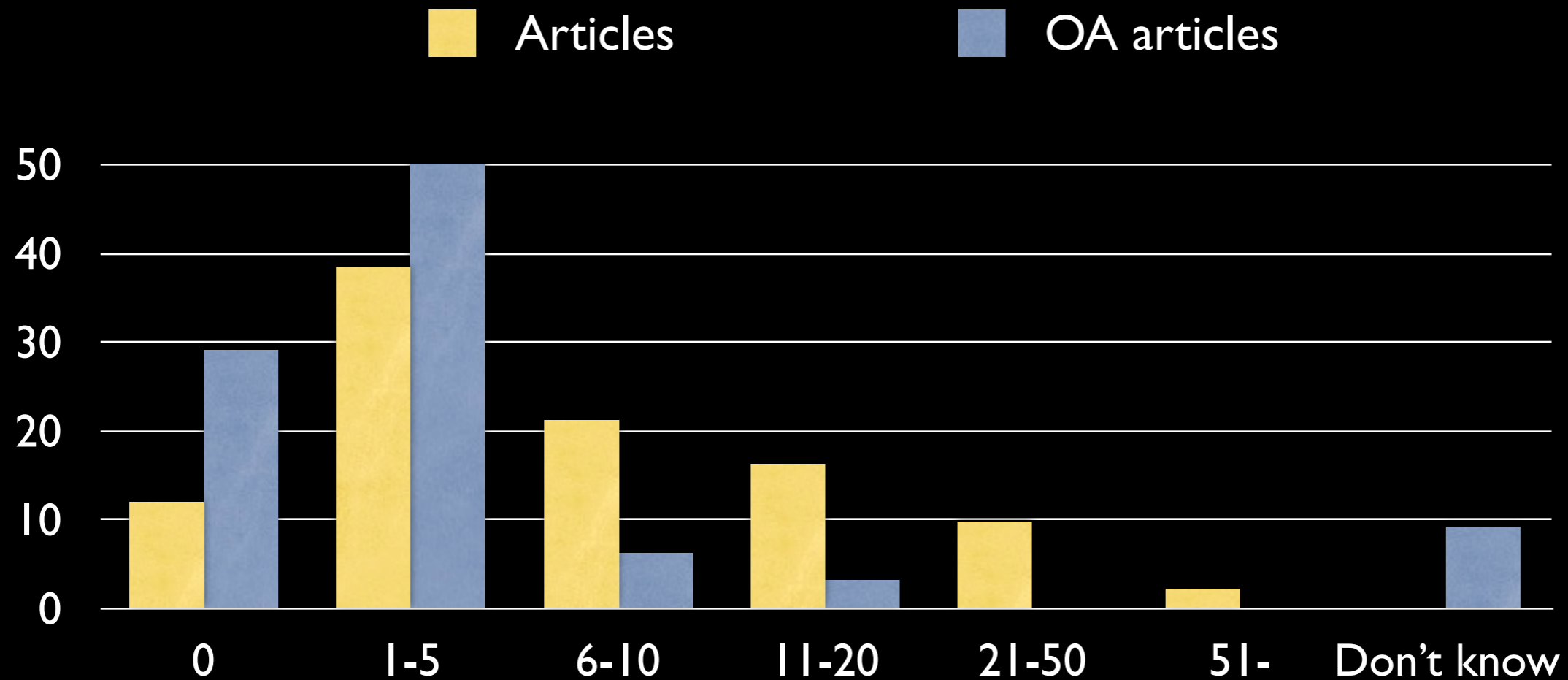
All things being equal, OA is preferred to TA



“Do you think your research field benefits, or would benefit from journals that publish Open Access articles?”

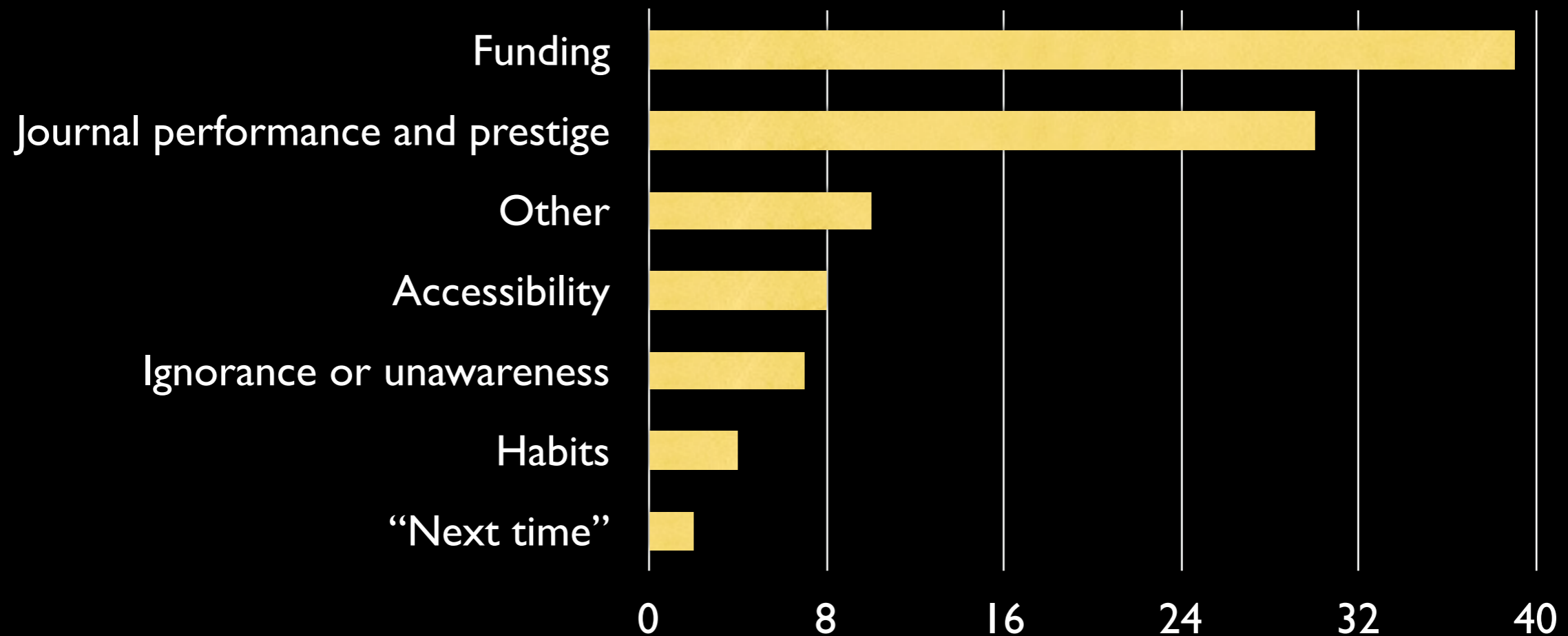


...yet OA publishing is not a major force



“Approximately how many [Open Access] articles have you published in the last five years?”

Why isn't OA a major market share?



“Has there been a specific reason why you have not published an article by Open Access?”

Why isn't OA a major market share?

- **Funding:** lack of funding for APCs
- **Journal performance and prestige:** OA journals not of good quality or no impact factor
- **Other:** “green OA is sufficient, there are too many OA journals, someone other than the respondent decides where to publish, the publisher decides which articles are OA or there has not been a specific reason.”
- **Accessibility:** “a bad experience with an OA journal, their paper has not been accepted or there are no OA journals on their field.”
- **Ignorance or unawareness:** “not been aware of OA or OA journals on their field.”
- **Habits:** “prefer to publish their papers only in certain journals.”

Insufficient funds

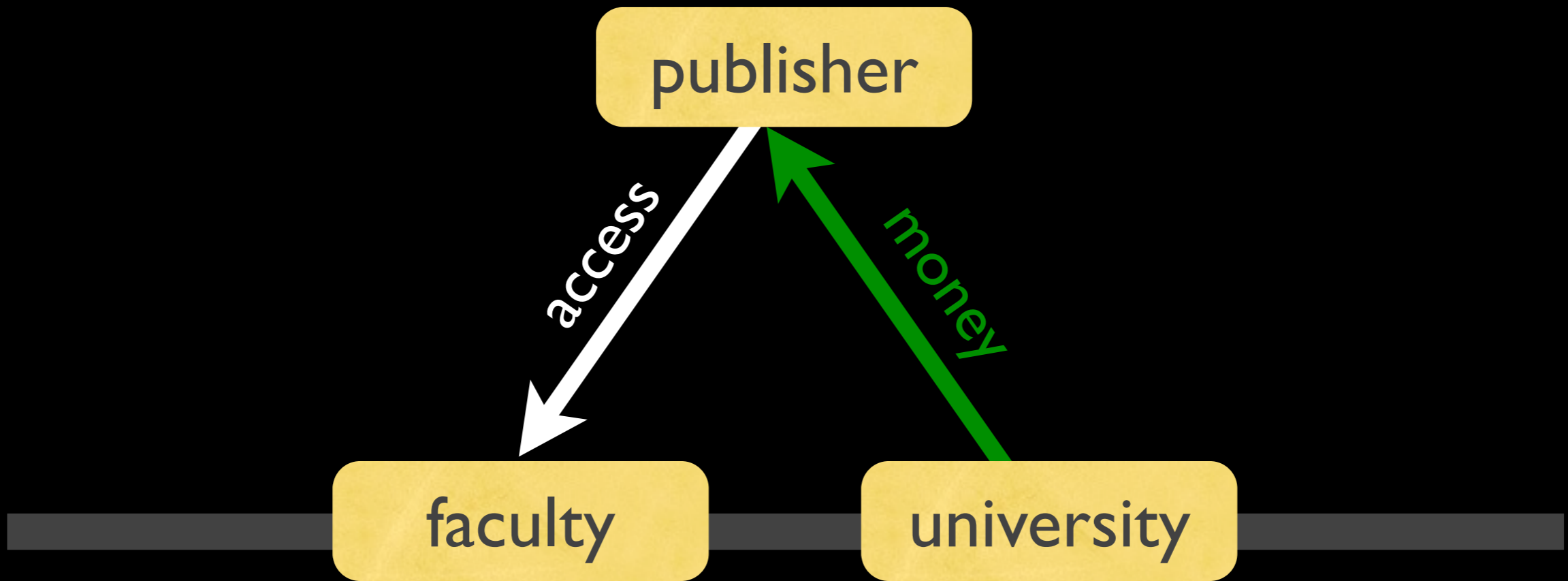
Insufficient supply

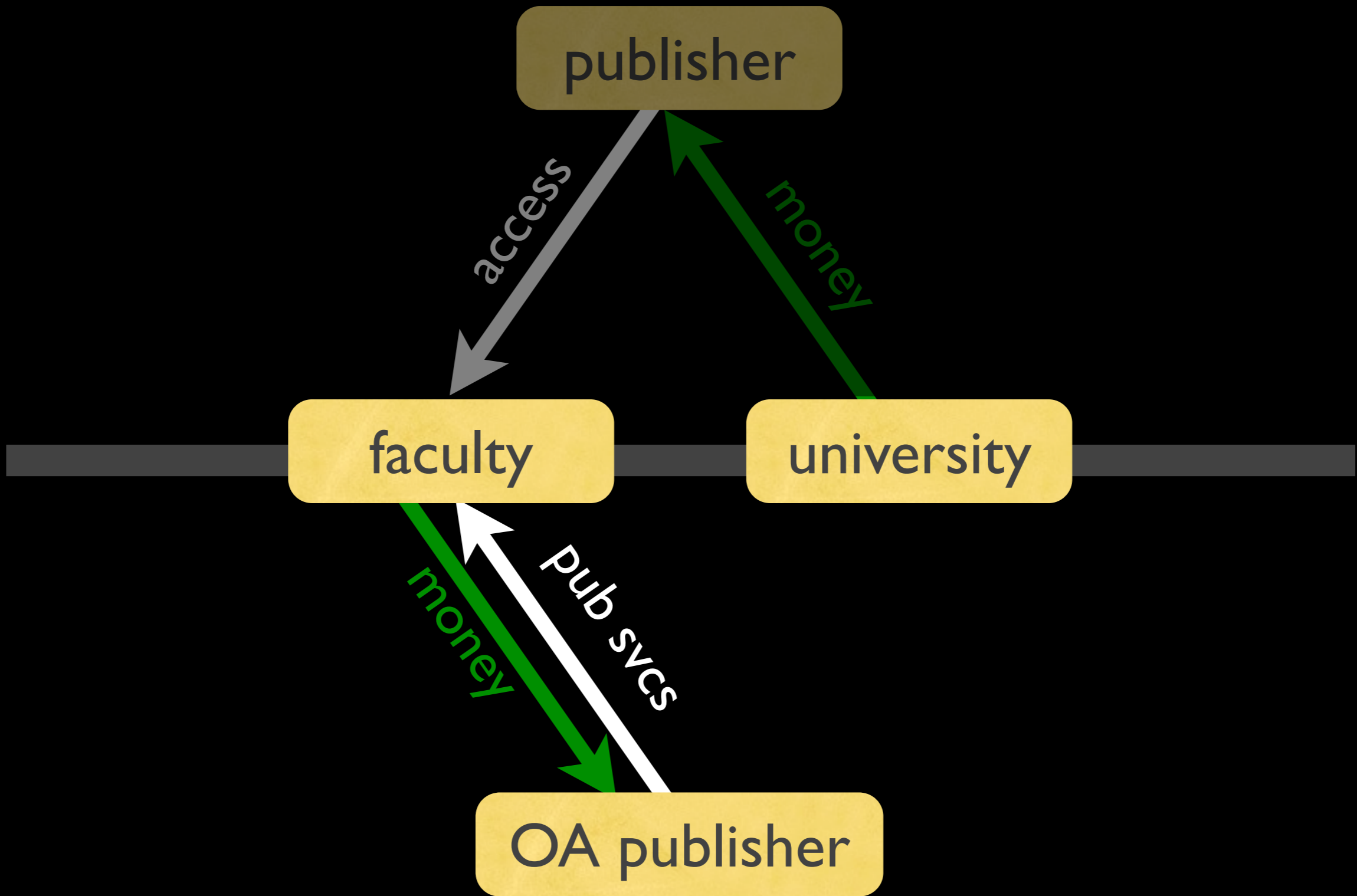
Bogus



Why isn't OA a major market share?

- *lack of journals and lack of prestige* because
 - *lack of publisher support* because
 - OA lacks a *revenue model* because
 - *lack of funding*





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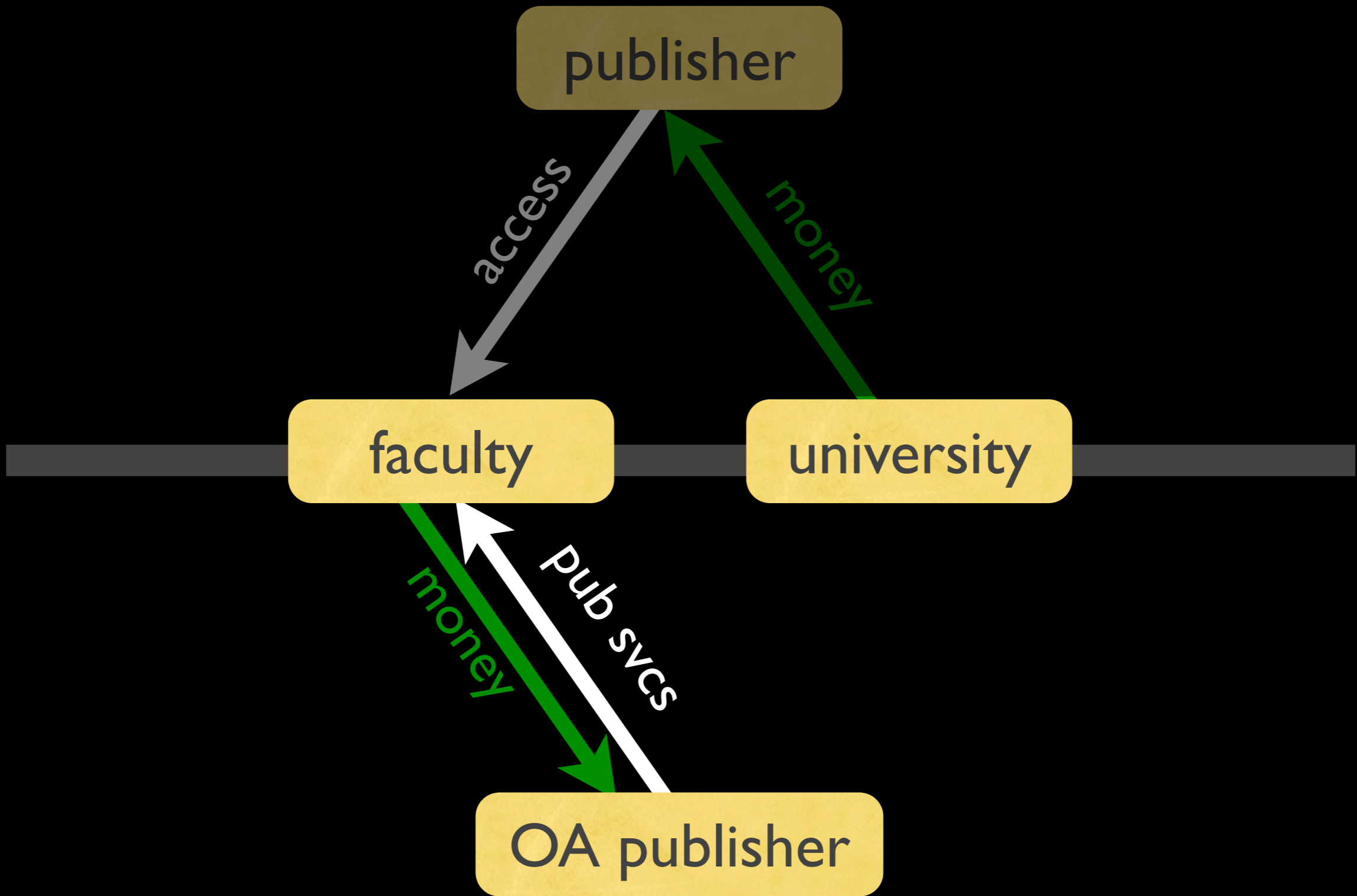
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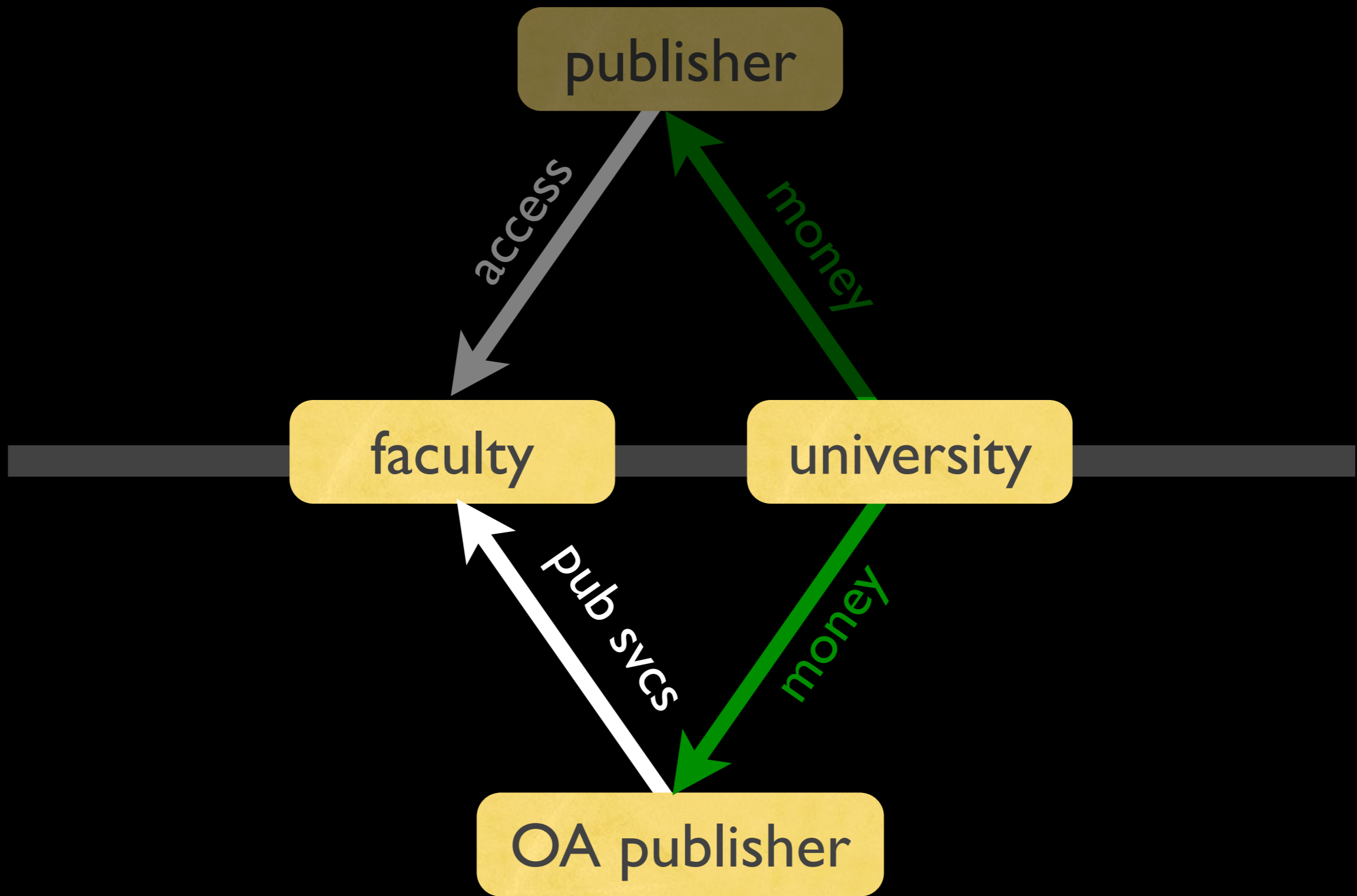
- lack of *journals* and lack of *prestige* because
- lack of *publisher support* because
 - OA lacks a *revenue model* because
 - lack of *funding* because
 - lack of *demand* because
 - lack of *journals* and lack of *prestige*

How to break the loop

- Monopsonistic approach
 - subscribers all agree to stop all subscriptions at a date certain and commit money to OA APCs
- Simultaneous approach
 - subscribers and journals agree to switch revenue model all at once (SCOAP³)
- Unilateral approach
 - universities and funding agencies commit to underwriting APCs despite lack of demand (COPE)







“[F]rom a societal perspective, electronic publication and more widespread circulation should be encouraged. *The best means for accomplishing this objective is subsidization of the fixed cost of publication, so that publishers would need to rely on subscriptions only to recover distribution costs.*”

Roger Noll, 1996, *The Economics of Scholarly Publications and the Information Superhighway*



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“Each of the undersigned universities commits to the timely establishment of durable mechanisms for *underwriting reasonable publication charges* for articles written by its faculty and published in fee-based open-access journals and for which other institutions would not be expected to provide funds.”

Compact for Open-Access Publishing Equity

www.oacompat.org



COPE Signatories

- Cornell University
- Dartmouth College
- Harvard University
- Massachusetts Institute of Technology
- University of California at Berkeley

and then

- University of Ottawa
- Columbia University
- Memorial Sloan-Kettering Cancer Center
- University of Michigan
- Universitat de Barcelona
- Duke University
- University of Calgary
- Simon Fraser University
- CERN

COPE Supporters

Nobelists

- Mario Capecchi
- Robert Curl
- Edmond H. Fischer
- Alfred Gilman
- Paul Greengard
- Dudley Herschbach
- Roald Hoffmann
- Robert Horvitz
- Roger Kornberg
- Kary Mullis
- Stanley Prusiner
- Jack W. Szostak
- Rolf Zinkernagel



COPE Supporters

Open Access Leaders

- Steven Hyman
- Heather Joseph
- Peter Lange
- Peter Suber
- John Wilbanks
- John Willinsky



COPE Supporters

Institutions

- BioMed Central
- Creative Commons
- Hindawi Publishing
- Open Access Scholarly Publishers Association (OASPA)
- Public Library of Science (PLoS)
- Scholarly Publishing and Academic Resources Coalition (SPARC)
- SPARC Europe
- Wellcome Trust



Questions (& answers)

1. Won't this cost universities a lot of money?
2. Won't publishers just hyperinflate publication charges to maintain revenue?
3. Won't faculty at poorly endowed universities be at a disadvantage in publishing in top OA journals?
4. What about authors with fewer financial resources such as those from developing countries?
5. Won't heavy-research universities end up paying more than under the subscription model?
6. The OA fund idea only works if essentially all research institutions sign on.

Funder policies

- Author must provide for *open access* (green or gold) *as soon as possible* and no later than a year after publication
- Authors may obtain up to $x\%$ *incremental funding* to pay reasonable open-access fees up to a year after grant ends
- Funders will reduce overheads to compensate for open-access fund uptake so *total funded research is unaffected*



Harvard Office for Scholarly Communication

osc.hul.harvard.edu

Compact for Open-Access Publishing Equity

oacompact.org

The Occasional Pamphlet

occasionalpamphlet.com





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Q & A

- Won't this cost a lot of money right away?
- *No. Empirical evidence shows that the costs are minimal at the moment. (Remember, no grant-funded research or “hybrid” fees.)*



<i>Institution</i>	<i>Months</i>	<i># Funded</i>	<i>Funded /year</i>	<i>Faculty size</i>	<i>\$/faculty/year</i>
<i>Berkeley</i>	<i>31</i>	<i>92</i>	<i>35.61</i>	<i>1582</i>	<i>\$33.77</i>
<i>Columbia</i>	<i>7</i>	<i>2</i>	<i>3.43</i>	<i>1377</i>	<i>\$3.73</i>
<i>Cornell</i>	<i>11</i>	<i>3</i>	<i>3.27</i>	<i>1594</i>	<i>\$3.08</i>
<i>Dartmouth</i>	<i>11</i>	<i>1</i>	<i>1.09</i>	<i>450</i>	<i>\$3.64</i>
<i>Harvard</i>	<i>11</i>	<i>1</i>	<i>1.09</i>	<i>1633</i>	<i>\$1.00</i>
<i>MSKCC</i>	<i>5</i>	<i>0</i>	<i>0</i>	<i>560</i>	<i>\$0.00</i>
<i>MIT</i>	<i>2</i>	<i>0</i>	<i>0</i>	<i>1025</i>	<i>\$0.00</i>
<i>Ottawa</i>	<i>8</i>	<i>25</i>	<i>37.5</i>	<i>1257</i>	<i>\$44.75</i>

Source: *Occasional Pamphlet*, <http://bit.ly/9M4rso>



Q & A

- Won't publishers just hyperinflate publication charges to maintain revenue?
- *If so, we're still better off.*

But authors seeing the price signal will form a functioning market. Several mechanisms, including a per-faculty cap, can enforce the market mechanism.

Arguments For Processing Fees

Subscription Fee

Processing Fee

moral hazard

yes

no

good sold

monopolistic

competitive

demand elasticity

complement

substitute



Q & A

- Won't faculty at poorly endowed universities be at a disadvantage in publishing in top OA journals?
- *This argument hasn't stopped subscription-based journals from charging page charges, etc. Faculty at poorly endowed universities are at a disadvantage in many ways, especially scope of library collections.*



Q & A

- What about authors with fewer financial resources such as those from developing countries?
- *Most OA journals will waive fees for necessitous authors. The fund would be applicable only to journals with such policies.*



Q & A

- Won't some research-heavy universities end up paying more than under the subscription model?
- *Unlikely. Grant-funded articles would be underwritten by granting agencies. Removing market dysfunction will improve efficiency. Charging for a non-monopolistic service will reduce monopoly rents. But if in the end the price goes up for a particular university in a well-functioning market, the market has spoken.*

Q & A

- The OA fund idea only works if essentially all research institutions sign on.
- *True (though the fund can be broadened to apply to journals that use the **transitional open access** business model), so adding institutions is important. In the meantime, at least it doesn't incur much cost.*

